

Please type a plus sign (+) inside this box




Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

| | | | | | |
|---|---|----|---|--------------------------|--------------------|
| Substitute for form 1449A/PTO | | | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (use as many sheets as necessary) | | | | Application Number | 09/838,483 |
| | | | | Filing Date | 4/19/01 |
| | | | | First Named Inventor | Louise C. Sengupta |
| | | | | Group Art Unit | 2817 |
| | | | | Examiner Name | Marcus Kirk |
| Sheet | 1 | of | 2 | Attorney Docket Number | 283014-00018-1 |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------|-----------------------|----------------------|--------------------------------------|---|--|---|
| Examiner Initials* | Cite No. ¹ | U.S. Patent Document | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number | Kind Code ² (if known) | | | |
| SM | | 4,320,404 | | Chekroun | 03-16-1982 | |
| SM | | 4,434,409 | | Green | 02-28-1984 | |
| SM | | 4,532,704 | | Green | 08-06-1985 | |
| SM | | 4,654,611 | | Wong et al. | 03-31-1987 | |
| SM | | 4,782,346 | | Sharma | 11-01-1988 | |
| SM | | 4,789,840 | | Albin | 12-06-1988 | |
| SM | | 4,818,963 | | Green | 04-04-1989 | |
| SM | | 4,837,528 | | Mörz et al. | 06-06-1989 | |
| SM | | 4,894,627 | | Kane | 01-16-1990 | |
| SM | | 4,982,171 | | Figlia et al. | 01-01-1991 | |
| SM | | 5,312,790 | | Sengupta et al. | 05-17-1994 | |
| SM | | 5,355,104 | | Wolfson et al. | 10-11-1994 | |
| SM | | 5,427,988 | | Sengupta et al. | 06-27-1995 | |
| SM | | 5,486,491 | | Sengupta et al. | 01-23-1996 | |

| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|-----------------------|-------------------------|---------------------|--------------------------------------|---|--|---|----------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
| | | Office ³ | Number ⁴ | Kind Code ⁵ (if known) | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

| | | | |
|--------------------|--------------|-----------------|---------|
| Examiner Signature | Sengsook Han | Date Considered | 6-10-02 |
|--------------------|--------------|-----------------|---------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

+ Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box




Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

+

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

| | | | | | |
|---|---|----|---|--------------------------|--------------------|
| Substitute for form 1449A/PTO | | | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (use as many sheets as necessary) | | | | Application Number | 09/838,483 |
| | | | | Filing Date | 4/19/01 |
| | | | | First Named Inventor | Louise C. Sengupta |
| | | | | Group Art Unit | 2817 |
| | | | | Examiner Name | Marcus Kirk |
| Sheet | 2 | of | 2 | Attorney Docket Number | 283014-00018-1 |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------|-----------------------|----------------------------|--------------------------------------|---|---|---|
| Examiner Initials* | Cite No. ¹ | U.S. Patent Document | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number | Kind Code ² (if known) | | | |
| ca | | 5,635,433 | | Sengupta | 06-03-1997 | |
| gm | | 5,635,434 | | Sengupta | 06-03-1997 | |
| 7A | | 5,693,429 | | Sengupta et al. | 12-02-1997 | |
| 7A | | 5,724,011 | | McWhirter et al. | 03-03-1998 | |
| ai | | 5,766,697 | | Sengupta et al. | 06-16-1998 | |
| am | | 5,811,830 | | Dubey et al. | 09-22-1998 | |
| gm | | 5,830,591 | | Sengupta et al. | 11-03-1998 | |
| am | | 5,846,893 | | Sengupta et al. | 12-08-1998 | |
| | | Application No. | | Chiu | Filed | |
| | | 09/594,837 | | | 06-15-2000 | |
| | | Application No. | | Kozyrev et al. | Filed | |
| | | 09/644,019 | | | 08-22-2000 | |
| | | Application No. | | Sengupta et al. | Filed | |
| | | 09/768,690 | | | 01-24-2001 | |

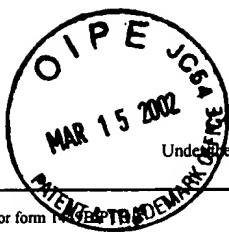
| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------------|-----------------------|-------------------------|---------------------|--------------------------------------|---|--|---|----------------|
| Examiner Initials [*] | Cite No. ¹ | Foreign Patent Document | | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
| | | Office ³ | Number ⁴ | Kind Code ⁵ (if known) | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

| | | | |
|--------------------|--------------|-----------------|---------|
| Examiner Signature | Sengupta Han | Date Considered | 8-10-02 |
|--------------------|--------------|-----------------|---------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

+ Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Please type a plus sign (+) inside this box

☒ Approved for use through 10/31/99.

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | | | |
|---|---|--------------------------|--------------------|------------------------|----------------|
| <p>Substitute for form 1</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p>(use as many sheets as necessary)</p> | | Complete if Known | | | |
| | | Application Number | 09/838,483 | | |
| | | Filing Date | 4/19/01 | | |
| | | First Named Inventor | Louise C. Sengupta | | |
| | | Group Art Unit | 2817 | | |
| | | Examiner Name | Marcus Kirk | | |
| Sheet | 1 | of | 1 | Attorney Docket Number | 283014-00018-1 |

| Examiner Initials ¹ | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
|--------------------------------|-----------------------|---|----------------|
| am | | A. KOZYREV ET AL., "Ferroelectric Films: Nonlinear Properties and Applications in Microwave Devices," <i>IEEE MTT-S International Microwave Symposium Digest</i> , June 7, 1998, pp. 985-988. | |
| m | | O. G. VENDIK ET AL., "Ferroelectric Tuning of Planar and Bulk Microwave Devices," <i>Journal of Superconductivity</i> , Vol. 12, No. 2, April 1999, pp. 325-338. | |
| em | | A. BURGEL ET AL., "Optical Second-Harmonic Generation at Interfaces of Ferroelectric Nanoregions in SrSiO/sub 3/:Ca SrTiO/sub 3/:Ca," <i>Physical Review B, Condensed Matter</i> , Vol. 53, No. 9, March 1, 1996, pp. 5222-5230. | |
| am | | US Application No. 09/394,837 | |
| am | | US Application, No. 09/644,019 | |
| am | | US Application, No. 09/268,690 | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

| | | | |
|--------------------|--------------|-----------------|---------|
| Examiner Signature | Sengupta Haw | Date Considered | 6-10-02 |
|--------------------|--------------|-----------------|---------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

+ Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box ☒ Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE +

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

| | | | | | |
|---|---|----|---|------------------------|--------------------|
| Substitute for form 1449A/PTO | | | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | | | Application Number | 09/838,483 |
| | | | | Filing Date | 4/19/01 |
| | | | | First Named Inventor | Louise C. Sengupta |
| | | | | Group Art Unit | 2817 |
| | | | | Examiner Name | Marcus Kirk |
| Sheet | 1 | of | 1 | Attorney Docket Number | 283014-00018-1 |

U.S. PATENT DOCUMENTS

| Examiner Initials ¹ | Cite No. ¹ | U.S. Patent Document | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------------------|-----------------------|----------------------|-----------------------------------|---|--|---|
| | | Number | Kind Code ² (if known) | | | |
| SM | | 4,568,893 | | Sharma | 02-04-1986 | |
| | | 5,427,988 | | Sengupta et al. | 06-27-1995 | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials ¹ | Cite No. ¹ | Foreign Patent Document | | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁴ |
|--------------------------------|-----------------------|-------------------------|---------------------|-----------------------------------|---|--|---|----------------|
| | | Office ³ | Number ⁴ | Kind Code ⁵ (if known) | | | | |
| SA | | JP | 05251942 | | Mitsubishi Electric Corp. | 09-28-1993 | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

| | | | |
|--------------------|--------------|-----------------|---------|
| Examiner Signature | Sengupta Ham | Date Considered | 6-10-02 |
|--------------------|--------------|-----------------|---------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

+ Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.